

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802005
	Filing Date		2001-03-08
	First Named Inventor	Christopher Keith	
	Art Unit		3693
	Examiner Name	Daniel S. Felton	
Attorney Docket Number		IVEN125474	

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9	5412804	A	1995-05-02	Krishna	
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U.S. PATENT APPLICATION PUBLICATIONS

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	2	20030014379	A1	2003-01-16	Sais	

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FOREIGN PATENT DOCUMENTS

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	1							<input type="checkbox"/>

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NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T ⁵
	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>
	2	HULL, J C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
	3	LIVINGSTON, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>

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5	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>
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☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

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- ☐ See attached certification statement.
- ☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- ☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2006-11-09
Name/Print	Kevan L. Morgan	Registration Number	42015

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